



EH *U.S. Department of Energy*
Office of Environment, Safety and Health

DOE Lessons Learned Program

“Achieving the New Approach / New Focus”

**Presentation to the SELLS
Spring Workshop
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Overview

- Why Change?
- Purpose
- Background
- Approach
 - Work Group Composition
- Benefits
- Path Forward
 - Proposed Work Group Tasks
- Project Time Table



Why Change?

- Current Lessons Learned Program:
 - While Achieved Degree of Standardization across DOE
 - Not Viewed as Value-Added by Key Stakeholders because:
 - Scope too Broad
 - Significant Levels of Bureaucracy / Administrolology – Frequently Personality Driven
 - Not Integrated with DOE Occurrence Reporting System
 - Lacks an Effective Driver
 - Indirectly Required in Contract Clauses
 - Defined by DOE Standard – No Specific DOE Order



Why Change? (Continued)

- Feed Back:
 - Reyes Report Concluded:
 - Current System does Not provide Consistent Feedback on Operating Experience from Other DOE Facilities, and
 - Is Not Aligned with Industry Approach/Best Practices (INPO).
 - DNFSB Staff & ISM Executive Forums
 - Should Focus on “Preventing” Recurrence of Significant Events
 - Relationship between “Lessons Learned” and “Best Practices”



Purpose

- “Primary Purpose“ - Shift in Focus from Broad “Lessons Learned” to “Operating Experience Review” to Prevent Recurrence of Significant Events/ Trends Throughout DOE
 - Requires Effective Analysis and Trending of Occurrences to Discover Significant Events and Recurring Problems
 - Provide Information Needed by Site Planners/ Workers to Effect Change
 - Provide “Accountability” to Ensure Implementation



Purpose (continued)

- Tailored Approach Aligned with DOE Missions and Objective to Improve Safety.
- Key Element of DOE's ISM System – Core Function 5 “Feedback and Continuous Improvement”
- “Secondary Purpose” – Dissemination of Best Practices



Background on INPO/WANO Model

- INPO/WANO Model evolved over 16 years
- First Tier - Informational
 - Just In Time Operating Experience – Lessons Learned Actions tailored to First Line Work
 - Significant Event Notifications (SENs) – Information on timely alert to events or recurring events.
- Second Tier – Significant Events and Lessons Learned that **SHOULD** be considered – Local follow-up
 - Significant Event Reports (SERs)
- Third Tier – Problems requiring Focused attention – INPO follow-up
 - Significant Operating Experience Reports (SOERs)
- Roll of On-Site Coordinator



Approach

- Consider Adaptation of INPO/WANO Model to DOE LL Program
- Structured Program - Three Levels – LL Hierarchy
 - First Tier - Informational
 - Lessons Learned Actions tailored to First Line Work
 - Operating Experience Summary?
 - Second Tier – Field Level Monitored Actions
 - Special Reports?
 - Field Review and Implementation of Corrective Actions
 - Closure of Actions at DOE Field/Contractor Level



Approach (continued)

Third Tier - DOE HQ Level Monitored Actions

- Significant Issues within DOE
- Issue Evaluated and Action Directed by DOE HQ Review Board (Staff, PSOs, FMC, Industry Experts)
- Required Actions to Field
- Closure of Actions to DOE HQ

- Link to Re-engineered ORPS System

- Event Significance – Emergencies and Categories 1 – 4
- Recurring Events
- New Approach to Causal Analysis



Approach (continued)

- Senior Leadership Team
 - HQ, DOE Field, Site/Contractor and EFCOG Representatives
 - Establish Principles, Concept and Implementation Strategy
 - Decision Makers for Issue Resolution
- Partnership with INPO
- Working Group & Task Teams
 - HQ Staff & PSO's, DOE Field, Site/Contractor, EFCOG, SELLS Representatives
 - Requires Broad Range of Member Experience
 - Include Work Planners and Work Supervisors
 - Members act as “Champions” for Implementation
- Managed as “Project”



Benefits

- Improved Safety Performance
 - Reduction in Recurring Events
- Achieve Cost Savings Resulting In
 - Streamlining of Process
 - Refocusing HQ, DOE Field, Contractor Resources
 - Prevention of Recurring Events
 - Minimizing Process Disruptions, Injuries, Work Related Illnesses
- Improved External Credibility
 - DNFSB, Congress, Third Parties, etc.



Path Forward – Work Group Tasks

- Define the Purpose/Objectives
 - What Do We Want DOE's LL Program to Do/Look Like after the Re-Design?
- Establish Roles and Responsibilities
- Define the Driver for Accountability
 - Need to Make the Contractor Accountable for Implementing Lessons Learned
 - New or Revised Contract Clause?
 - Require in DOE Orders?



Path Forward – Work Group Tasks (continued)

- Better Partitioning of Lessons Learned Categories
- Develop DOE Specific Lessons Learned Products that Factor In the INPO/WANO Model Features
- Establish Linkages to Re-Designed ORPS
 - Identify Software Changes (if Necessary)
 - Pointers between ORPS Occurrences and Lessons Learned Products



Project Time Table

GOAL: Complete Re-Design by September 2003

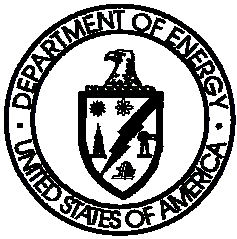
- Kickoff Meeting for Leadership Team and Working Group – Late April 2003
- Perform Lesson Learned System/Product Gap Analysis – by May 2003
- Establish Sub Teams – May 2003
 - Implementation Driver (Contract Clause, DOE Order, etc.)
 - Product Development
 - Communications
 - Software Modifications / System Linkages



Project Time Table

- Work Group Meeting – June 2003 Product Assignments
- Product Review Process – Mid Summer 2003
- Pilot / Beta Test Re-Designed Process – September 2003
- Adjust Process/Products and Roll-out – October 2003

BACKUP VIEWGRAPHS





Linkage of the DEAR Clauses to Departmental Lessons Learned Program

Three Major ES&H Clauses;

- 48 CFR (DEAR) 970.5223-1 (formerly 970.5204-2), Integration of Environment, Safety and Health into Work Planning and Execution
- 48 CFR (DEAR) 970.5204-2 (formerly 970.5204-78), Laws, Regulations and DOE Directives
- 48 CFR (DEAR) 970.5215-3 (formerly 970.5204-86), Conditional Payment of Fee, Profit and Incentives

Related Departmental Guidance



Integration of ES&H into Work Planning and Execution – ISM Clause

- ***Implied Requirement for Lessons Learned in Core Function 5.***

(c) The contractor shall manage and perform work in accordance with a documented Safety Management System (System) that fulfills all conditions in paragraph (b) of this clause at a minimum. Documentation of the System shall describe how the contractor will:

(5) Provide feedback on adequacy of controls and continue to improve safety management.

(f) The contractor shall comply with, and assist the Department of Energy in complying with, ES&H requirements of all applicable laws and regulations, and applicable directives identified in the clause of this contract on Laws, Regulations, and DOE Directives. The contractor shall cooperate with Federal and non-Federal agencies having jurisdiction over ES&H matters under this contract.



Proposed Conditional Payment of Fee, Profit or Incentives Clause

Indirect Incentive for Lessons Learned Program in (proposed) CPOF Clause.

(3) In determining the amount of the reduction and the applicability of mitigating factors, the contracting officer must consider the contractor's overall performance in meeting the ES&H or security requirements of the contract. ... In all cases, the contracting officer must consider mitigating factors that may warrant a reduction below the applicable range, including a determination that no reduction should be made (see 48 CFR 970.15404-4-1(h)). The mitigating factors may include the following ((v), (vi), (vii) and (viii) apply to ES&H only).

(viii) Contractor demonstration that an Operating Experience and Feedback Program is functioning that demonstrably affects continuous improvement in ES&H by use of lessons-learned and best practices inter- and intra-DOE sites.



Potential DOE Orders

Candidate DOE Orders and Manuals that could be Changed to Require LL Programs

- DOE M 251 “Directives System Manual”
- DOE Order 360.1 “Federal Employee Training”
- DOE Order 440.1 “ Worker Protection Management for DOE Federal and Contractor Employees”
- DOE Order 5480.20A, Change 1 “Personnel Selection, Qualification, and Training Requirements for DOE Nuclear Facilities”